



Docket No.: 42390P10807

2151#<sup>3</sup><sub>BT</sub>  
3-26-03

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

ERIK COTA-ROBLES, ET AL.

Application No.: 09/931,072

Filed: August 15, 2001

For: **Tracking Operating System Process And  
Thread Execution And Virtual Machine  
Execution In Hardware Or In A Virtual  
Machine Monitor**

Art Group: 2151

Examiner:

**RECEIVED**

MAR 07 2003

Technology Center 2100

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Copies of the references cited on PTO/SB/08 are enclosed herewith.

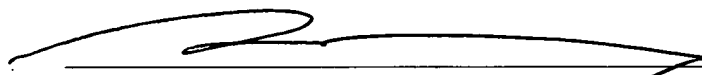
The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: FEB. 26, 2003

  
Sheryl Sue Holloway, Reg. No. 37,850

12400 Wilshire Blvd., 7th Floor  
Los Angeles, California 90025  
(408) 720-8300

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on:

February 26, 2003

  
Pamala Stephenson

02-26-03

Date

Substitute for Form 1449A/PTO (Modified) (Use as many sheets as necessary)		Attorney Docket No.: 042390.P10807	Application Number: 09/931,072
Page 1 of 2 Pages		First Named Inventor: Erik Cota-Robles	Confirmation Number: 2890
		Filing Date: 8/15/2001	Art Unit: 2151

### U.S. PATENT DOCUMENTS

Exam. Initial*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (If known)			
		5,455,909		Blomgren, et al.	10/3/95	

### FOREIGN PATENT DOCUMENTS

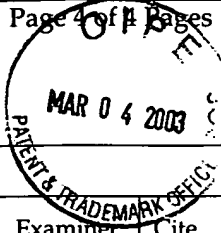
Exam. Initial*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number	Kind Code <sup>5</sup> (If known)				
		EP	✓ 0600112	A1	Seimens Nixdorf Information Systeme	11-30-1992		✓
		WO	✓ 9834365	A1	AT&T Corporation	8-6-1998		
		WO	✓ 9844402	A1	British Telecommunications Public Limited Company	10-8-1998		
		WO	✓ 9905600	A2	Apple Computer, Inc.	2-4-1999		
		WO	✓ 9909482	A1	Seimens Nixdorf Information Systeme	2-25-1999		
		EP	✓ 0930567	A3	Texas Instruments	7-21-1999		
		WO	✓ 9957863	A1	International Business Machines Corporation	11-11-1999		
		EP	1030237	A1	Hewlett Packard			
		WO	✓ 0062232	A1	Digital Media on Demand, Inc.	10-19-2000		
		WO	✓ 0175595		Intel Corporation			
		WO	✓ 0175565	A2	Intel Corporation			
		EP	1146715	A1	ContentGuard Holdings, Inc.	10-17-2001		

Examiner Signature	Date Considered
--------------------	-----------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

**Burden Hour Statement:** This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Substitute for Form 1449A/PTO (Modified) (use as many sheets as necessary)		Attorney Docket N. : 042390.P10807		Application Number: 09/931,072	
Page 4 of 4 Pages		First Named Inventor: Erik Cota-Robles		Confirmation Number: 2890	
		Filing Date: 8/15/2001		Art Unit: 2151	
					
OTHER ART - NO PATENT LITERATURE DOCUMENTS					
Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published			Translation <sup>2</sup>
		HEINRICH, J., "MIPS R4000 Microprocessor User's Manual," April 1, 1993, MIPS, MT. VIEW, XP002184449, pp. 61-97. ✓			
		HEINRICH, J.: "MIPS R4000 MICROPROCESSOR USER'S MANUAL", 1994, MIPS TECHNOLOGY INC., MOUNTAIN VIEW, CA, pages 67-79			
		"M68040 USER'S MANUAL," 1993, MOTOROLA, INC., pp. 1-20			
		"INTEL 386 DX MICROPROCESSOR 32-BIT CMOS MICROPROCESSOR WITH INTEGRATED MEMORY MANAGEMENT," 12/31/95, INTEL, INC., pp. 32-56; figures 4-14 ✓			
		BERG, C., "HOW DO I CREATE A SIGNED APPLET?," DR. DOBB'S JOURNAL, M&T Publ., Redwood City, CA, US, Vol. 22, No. 8, 8/97, pp. 109-111, 122 ✓			
		GONG, L., et al., "GOING BEYOND THE SANDBOX: AN OVERVIEW OF THE NEW SECURITY ARCHITECTURE IN THE JAVA DEVELOPMENT KIT 1.2," Proceedings of the Usenix Symposium on the Internet Technologies and Systems, Monterrey, CA 12/97, pp. 103-112. ✓			
		GOLDBERG, R., "SURVEY OF VIRTUAL MACHINE RESEARCH," IEEE Computer Magazine 7(6), pp. 34-45, 1974. ✓			
		GUM, P.H., "SYSTEM/370 EXTENDED ARCHITECTURE: FACILITIES FOR VIRTUAL MACHINES," IBM J. Research Development, Vol 27, Number 6, pp. 530-544, November 1983 ✓			
		ROSENBLUM, M. "VMWARE'S VIRTUAL PLATFORM: A VIRTUAL MACHINE MONITOR FOR COMMODITY PCS," Proceedings of the 11th Hotchips Conference, pp. 185-196, August 1999. ✓			
		LAWTON, K., "RUNNING MULTIPLE OPERATING SYSTEMS CONCURRENTLY ON AN IA32 PC USING VIRTUALIZATION TECHNIQUES," <a href="http://www.plex86.org/research/paper.txt">http://www.plex86.org/research/paper.txt</a> ; 8/9/2001; pp. 1-31. ✓			
Examiner Signature				Date Considered	

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.